



Attorney's Docket No.: 17075-002001 / 0101

*LPW*

THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant : Thirumani Sabanathan  
Serial No. : 09/762,692  
Filed : October 31, 2005  
Title : OCCLUSION DEVICE

Art Unit : 3738  
Examiner : Unknown  
Conf. No. : 7840

**Mail Stop Amendment**

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

**TRANSMITTAL LETTER**

Dear Sir:

Transmitted herewith are an Information Disclosure Statement, Form PTO-1449 (4 pages), cited non-U.S. patent references, and a return postcard for filing in connection with the above-identified application. Because this Information Disclosure Statement is filed prior to receipt of a first office action on the merits in the above-referenced application, no fee is due. However, should it be determined that a fee for filing these papers is required, the Commissioner is authorized to charge Deposit Account No. 06-1050, as stated below:



The Commissioner is hereby authorized to charge any fees that may be due in connection with this paper or with this application during its entire pendency to Deposit Account No. 06-1050. A duplicate of this sheet is enclosed.

Respectfully submitted,

Fred C. Hernandez  
Reg. No. 41,832

**PTO Customer No.: 20985**  
Fish & Richardson P.C.  
12390 El Camino Real  
San Diego, California 92130  
Telephone: (858) 678-5625  
Facsimile: (202) 626-7796  
email: fherandez@fr.com

10683867.doc

**CERTIFICATE OF MAILING BY FIRST CLASS MAIL**

I hereby certify under 37 CFR §1.8(a) that this correspondence is being deposited with the United States Postal Service as first class mail with sufficient postage on the date indicated below and is addressed to the Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

November 16, 2006

Date of Deposit

Signature

*JLM*  
John L. Macalagay

Typed or Printed Name of Person Signing Certificate

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Alexandria, VA 22313-1450

**INFORMATION DISCLOSURE STATEMENT IN ACCORDANCE  
WITH 37 C.F.R. §§ 1.97-1.98**

Because this Information Disclosure Statement is filed before the receipt of a First Office Action on the Merits for the above-captioned application, a fee for filing this statement should not be due. If, however, it is determined that a fee is due, any fees that may be due in connection with filing this paper may be charged to Deposit Account No. 06-1050.

In accordance with the duty of disclosure imposed by 37 C.F.R. §1.56 to inform the Patent Office of all information known by Applicant or Applicant's representative that may be material to the examination of the subject application, Applicant's representative hereby provides this Information Disclosure Statement that is prepared in accordance with 37 C.F.R. §§1.97-1.98. Forms PTO-1449 (4 pages) and copies of the cited non U.S. Patent documents are provided herewith.

The documents cited on the Forms PTO-1449 are in the English language, with the exception of items noted below. Items CV and CW (Russian Patents No. SU 1,371,700 and SU 1,593,651, respectively) are in the Russian language and are supplied with English language Derwent abstracts (items DA and DB, respectively). Item CY (International PCT Publication

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Page : 2 of 2

Attorney's Docket No.: 17075-002001 / 0101  
Information Disclosure Statement

WO 96/34582) is in the German language and is supplied with an English language equivalent, (item CS). Hence, in accordance with the requirements of 37 C.F.R. §1.98, as amended effective March 16, 1992, no further explanation of the listed items is necessary.

Applicant also makes known to the Examiner the following pending U.S., International and National Phase Applications that have one or more common inventors and/or are commonly owned:


<u>U.S.S.N.(App. No.)</u>	<u>Filing Date</u>	<u>Docket No.</u>
11/515,181	09/07/2006	17075-002002/0101B

Although these documents are made known to the Patent and Trademark Office in compliance with Applicant's duty of disclosure, such disclosure is not to be construed as an admission by Applicant or Applicant's representative that any of the information, singly or in any combination thereof, is effective as prior art against the subject application. In accordance with 37 C.F.R. §1.97(g) and (h), the filing of this Information Disclosure Statement shall not be construed to mean that a search has been made or that no other material information as defined in 37 C.F.R. §1.56(b) exists.

Applicant respectfully requests that the Examiner review the foregoing documents and they be made of record in the file history of the above-captioned application.

Respectfully submitted,

Date: November 16, 2006

  
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Fred C. Hernandez  
Reg. No. 41,832

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Fish & Richardson P.C.  
12390 El Camino Real  
San Diego, California 92130  
Telephone: (858) 678-5625  
Facsimile: (202) 626-7796  
email: fhernandez@fr.com



Substitute Form PTO-1449 (Modified)	U.S. Department of Commerce Patent and Trademark Office	Attorney's Docket No. 17075-002001 / 0101	Application No. 09/762,692
		Applicant Thirumani Sabanathan	
		Filing Date October 31, 2005	Group Art Unit 3738

**List of Patents and Publications for Applicant's  
Information Disclosure Statement**

(37 CFR §1.98(b))

**U.S. Patent Documents**

Examiner Initial	Desig. ID	Document Number	Publication Date	Patentee	Class	Subclass	Filing Date If Appropriate
	AA	2,832,078	4/29/1958	Williams	623	219	10/17/56
	AB	2,981,254	04/25/61	Vanderbilt	128	350	11/12/57
	AC	3,320,972	5/23/1967	High et al.	137	844	04/16/64
	AD	3,445,916	5/27/1969	Schulte	294	58	04/19/67
	AE	3,657,744	04/25/72	Ersek	128	334	05/08/70
	AF	3,671,979	6/27/1972	Moulopoulos	623	211	09/01/69
	AG	3,788,327	01/29/74	Donowitz et al.	128	350	03/30/71
	AH	3,874,388	04/01/75	King et al.	128	334	02/12/73
	AI	4,014,318	03/29/77	Dockum et al.	128	1	05/22/75
	AJ	4,056,854	11/8/1977	Boretos et al.	623	218	09/28/76
	AK	4,084,268	4/18/1978	Ionescu et al.	623	215	04/22/76
	AL	4,086,665	05/02/78	Poirier	623	1	12/16/76
	AM	4,212,463	07/15/80	Repinski et al.	273	418	02/17/78
	AN	4,218,782	8/26/1980	Rygg	623	215	05/19/78
	AO	4,222,126	9/16/1980	Boretos et al.	623	219	12/14/78
	AP	4,250,873	02/17/81	Bonnet	600	104	04/17/78
	AQ	4,302,854	12/01/81	Runge	3	1.7	06/04/80
	AR	4,339,831	7/20/1982	Johnson	623	218	03/27/81
	AS	4,477,930	10/23/84	Totten et al.	3	1.5	09/28/82
	AT	4,698,294	11/06/90	Salama	600	30	02/09/89
	AU	4,732,152	03/22/88	Wallsten et al.	128	343	12/05/85
	AV	4,759,758	07/26/88	Gabbay	623	2	06/03/80
	AW	4,774,942	10/04/88	Moellers	128	205.24	08/28/87
	AX	4,808,183	02/28/89	Panje	623	9	06/03/80
	AY	4,819,664	04/11/89	Nazari	128	207.15	02/17/88
	AZ	4,830,003	05/16/89	Wolff et al.	128	343	06/17/88
	BA	4,832,680	05/23/89	Haber et al.	600	31	07/03/86

Examiner Signature	Date Considered
EXAMINER: Initial if citation considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.	

Substitute Form PTO-1449 (Modified)	U.S. Department of Commerce Patent and Trademark Office	Attorney's Docket No. 17075-002001 / 0101	Application No. 09/762,692
<b>List of Patents and Publications for Applicant's Information Disclosure Statement</b>  (37 CFR §1.98(b))		Applicant Thirumani Sabanathan	
		Filing Date October 31, 2005	Group Art Unit 3738

### U.S. Patent Documents

Examiner Initial	Desig. ID	Document Number	Publication Date	Patentee	Class	Subclass	Filing Date If Appropriate
	BB	4,846,836	07/11/89	Reich	623	11	10/03/88
	BC	4,850,999	07/25/89	Planck	623	1	05/26/81
	BD	4,877,025	10/31/89	Hanson	128	107.16	10/06/88
	BE	4,879,998	11/14/89	Moellers	128	205.4	05/06/88
	BF	4,934,999	06/16/90	Bader	600	29	07/28/88
	BG	4,990,151	02/05/91	Wallstén	606	108	09/18/89
	BH	5,061,274	10/29/91	Kensey	606	213	12/04/89
	BI	5,116,360	05/26/92	Pinchuk et al.	623	1	12/27/90
	BJ	5,116,564	05/26/92	Jansen	264	255	10/10/89
	BK	5,123,919	06/23/92	Sauter et al.	623	2	11/21/91
	BL	5,151,105	09/29/92	Kwan-Gett	623	1	10/07/91
	BM	5,158,548	10/27/92	Lau et al.	604	96	07/24/91
	BN	5,161,524	11/10/92	Evans	128	203.15	08/02/91
	BO	5,306,234	04/26/94	Johnson	604	49	03/23/93
	BP	5,352,240	10/04/94	Ross	623	2	05/31/89
	BQ	5,358,518	10/25/94	Camilli	623	2	01/25/93
	BR	5,366,478	11/22/94	Brinkerhoff et al.	660	213	07/27/93
	BS	5,392,775	02/28/95	Adkins et al	128	207.16	03/22/94
	BT	5,409,019	04/25/95	Wilk	128	898	11/03/93
	BU	5,411,507	05/02/95	Heckele	606	108	01/05/94
	BV	5,411,552	05/02/95	Anderson et al.	623	2	06/14/94
	BW	5,413,599	05/09/95	Imachi et al.	623	2	12/13/93
	BX	5,417,226	05/23/95	Juma	128	885	06/09/94
	BY	5,445,626	08/29/95	Gigante	604	349	06/03/94
	BZ	5,453,090	09/26/95	Martinez et al.	604	53	03/01/94
	CA	5,486,154	01/23/96	Kelleher	600	104	06/08/93
	CB	5,499,995	03/19/96	Teirstein	606	192	05/25/94

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### U.S. Patent Documents

Examiner Initial	Desig. ID	Document Number	Publication Date	Patentee	Class	Subclass	Filing Date If Appropriate
	CC	5,500,014	03/19/96	Quijano et al.	623	2	05/09/96
	CD	5,562,608	10/08/96	Sekins et al.	604	20	04/13/95
	CE	5,588,424	12/13/96	Insler et al.	128	207.14	06/28/95
	CF	5,645,519	07/08/97	Lee et al.	600	114	03/18/94
	CG	5,645,565	07/08/97	Rudd et al.	606	213	06/16/93
	CH	5,649,906	07/22/97	Gory et al.i	606	108	01/19/95
	CI	5,660,175	08/26/97	Dayal	128	207.15	08/21/95
	CJ	5,662,713	09/02/97	Anderson et al.	623	12	09/14/95
	CK	5,683,451	11/04/97	Lenker et al.	623	1	06/07/95
	CL	5,697,968	12/16/97	Rogers et al	623	1	08/10/95
	CM	5,755,770	05/26/98	Ravenscroft	623	1	01/31/95
	CN	5,803,080	09/08/98	Freitag	128	207.14	12/20/96
	CO	5,840,081	11/24/98	Andersen et al.	623	2	02/19/97
	CP	5,851,232	12/22/98	Lois	623	1	03/13/97
	CQ	5,855,587	01/05/99	Hyon et al.	606	188	08/22/96
	CR	5,855,601	01/05/99	Bessler et al.	623	2	06/21/96
	CS	6,022,312	02/08/00	Chaussy et al.	600	29	02/20/98
	CT	6,027,508	02/22/00	Ren et al.	606	108	10/03/96

### Foreign Patent Documents or Published Foreign Patent Applications

Examiner Initial	Desig. ID	Document Number	Publication Date	Country or Patent Office	Class	Subclass	Translation	
							Yes	No
	CU	0621015	10/26/94	EP				
	CV	1,371,700	02/07/88	SU				X*
	CW	1,593,651	09/23/90	SU				X*
	CX	94/26175	11/24/94	PCT				
	CY	96/34582	11/07/96	PCT				X+

X\* = An English language Derwent abstract is provided.

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				Filing Date October 31, 2005		Group Art Unit 3738	
Other Documents (include Author, Title, Date, and Place of Publication)							
Examiner Initial	Desig. ID	Document					
	CZ	Al Jishi <i>et al.</i> , "Selective Bronchial Occlusion for Treatment of Bullous Interstitial Emphysema and Bronchopleural Fistula." <i>J. of Pediatric Surgery</i> , <u>29</u> :1545-1547, 1994					
	DA	Derwent# 007607249 WPI Acc. No: 1988-241181/198834 (citing Russian Application No. SU4026409, published February 21, 1986), Russian Patent No. SU 1371700					
	DB	Derwent# 008650867 WPI Acc. No: 1991-154896/199121 (citing Russian Application No. SU4280143, published July 07, 1987), Russian Patent No. SU 1593651					
	DC	Guyton, Arthur C., <i>Textbook of Medical Physiology</i> , 6 <sup>th</sup> Edition, Philadelphia: W.B. Saunders Company, pp. 477, 496-498 (1981)					
	DD	Harris <i>et al.</i> , "The Experimental Production in Dogs of Emphysema with Associated Asthmatic Syndrome by Means of an Intratracheal Ball Valve", <i>J. Lab. Clin. Med.</i> , 9(iv):75-88, 1919					
	DE	Lewis <i>et al.</i> , "Pulmonary Interstitial Emphysema: Selective Bronchial Occlusion with a Swan-Ganz Catheter", <i>Archives of Disease in Childhood</i> , <u>63</u> :313-315, 1988					
	DF	Mathew <i>et al.</i> , "Selective bronchial obstruction for treatment of bullous interstitial emphysema." <i>J. of Ped.</i> , <u>96</u> :475-477, 1980					
	DG	Okada <i>et al.</i> , "Emergent Bronchofiberoptic Bronchial Occlusion for Intractable Pneumothorax with Severe Emphysema", <i>The Jap. J. of Thor. And Cardio. Sur.</i> , <u>46</u> :1078-1081, 1998					
	DH	Perini <i>et al.</i> , "Deformation and migration of Palmaz stents after placement in the tracheobronchial tree," <i>J Vasc Interv Radiol.</i> 10(2 Pt 1):209-15, 1999					
	DI	Puhakka <i>et al.</i> , "Acute Bronchial Obstruction: An Experimental Rabbit Model Study", <i>Int. J. of Pediatric Otorhinolaryngology</i> , <u>18</u> :107-118, 1989					
	DJ	Snider <i>et al.</i> , "The Definition of Emphysema: Report of the National Heart Lung and Blood Institute, Division of Lung Diseases Workshop," <i>Am. Rev. Respir. Dis.</i> , <u>132</u> :182-185, 1985					
	DK	Woodring <i>et al.</i> , "Pneumothorax ex Vacuo", <i>CHEST</i> , <u>100</u> :1102-1124, 1996					

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